

9 FAM 41.51 EXHIBIT V SUGGESTED DOCUMENT CHECKLIST - FOR APPLICANTS

*(CT:VISA-1222; 06-08-2009)
(Office of Origin: CA/VO/L/R)*

The following is a list of suggested documentation that may establish and alien's eligibility for an E-1 or E-2 visa as described in 9 FAM 41.51 N1.1 and 9 FAM 41.51 N1.2. This is meant as a guide only and is not a list of required documentation. Other information and evidence may be submitted by the visa applicant to satisfy the consular officer that the alien meets the criteria described in 9 FAM 41.51 N1.1 or 9 FAM 41.51 N1.2.

Please tab and index your supporting documentation and note the corresponding tab number on this form. To facilitate and expedite adjudication of your case, please highlight corroborating figures in annual reports, financial statements, etc.

I. Proof of Nationality of Investor or Applicant

Birth Certificate	—
Citizenship certificate	—
Photocopy of passport	—
Evidence of legal status in home country	—
Other nationality documents	—

II. Ownership Documents: (either A, B or C)

A. Sole Proprietorship:	Tab No.
Shares/stock certificates	—
Shares register indicating total and outstanding shares issued	—

Minutes of annual shareholders meeting —
 Other Evidence —

B. Partnership: Tab No.

Partnership or Joint Venture Agreement —
 Shares/stock certificates indicating total shares issued and outstanding shares —
 Other evidence —

C. Corporation: Tab No.

Shares/stock certificates indicating distribution of ownership, i.e., shares held by each firm and shares held by individual owners corporate matrix —
 If publicly traded on the principal stock exchange of a treaty country, enclose a sample of recently published stock quotations —
 Public announcement of corporate acquisition corporate chart showing head office and other subsidiary/branch locations in the U.S. —
 Other evidence of ownership —

III. Trade:

Tab No.

Purchase orders —
 Warehouse/custom declarations —
 Bills of lading —
 Sales contracts/contracts for services —

Letters of credit	—
Carrier inventories	—
Trade brochures	—
Insurance papers documenting commodities imported into the U.S.	—
Accounts receivable & accounts payable ledgers	—
Client lists	—
Other documents showing international trade is substantial and that 51% of the trade is between U.S. and the treaty country	—

IV. Investment:

	Tab No.
A. For an existing enterprise:	(show purchase price)

Tax Valuation	—
Market Appraisal	—

B. For a New Enterprise:	(show estimated start-up cost)
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Trade Association Statistics	—
Chamber of Commerce Estimates	—
Market Surveys	—

C. Source of Investment:	Tab No.
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Personal statement of net worth prepared by a certified accountant	—
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Transactions showing payment of sold property or

business (proof of property ownership and promissory notes) and rental income (lease agreements)	—
Voided investment certificates or internal bank Vouchers and appropriate bank statement crediting proceeds	—
Debit and credit advices for personal and/or business account withdrawals	—
Audited financial statement	—
Annual report of parent company	—
Net worth statements from certificate professional accountants	—

D. Evidence of Investment:

1. Existing Enterprise:

Tab No.

Escrow	—
Escrow account statement in the U.S.	—
Escrow receipt	—
Signed purchase agreement	—
Closing and settlement papers	—
Mortgage documents	—
Loan documents	—
Promissory notes	—
Financial reports	—
Tax returns	—

Security agreements	—
Assumption of lease agreement	—
Business account statement for routine operations	—
Other evidence	—

2. New Enterprise:

Tab No.

Inventory listing, shipment invoices of inventory, equipment or business related property	—
Receipts for inventory purchases	—
Canceled checks or official payment receipts for expenditures	—
Canceled check for first month's rent or full annual advance rent payment	—
Lease agreement	—
Purchase orders	—
Improvement expenses	—
Initial business account statements	—
Wire transfer receipts	—

V. Marginally:

A. For Existing Business:

Tab No.

U.S. corporate tax returns	—
Latest audited financial statement or non-review statements	—
Annual reports	—
Payroll register	—
W-2 and W-4 tax forms	—
Canceled checks for salaries paid and/or corresponding payroll account	—

B. For New Business:

Tab No.

Payroll register, records of salaries paid to employees (if any), employee data including names, rates of pay, copies of W-2's

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Financial projections for next 5 years, supported by a thorough business plan

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Business income and corporate tax returns (proof of registration, ownership, audited financial and review engagements)

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VI. Real & Operating Commercial Enterprise:

Tab No.

Occupational license

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Business license/business permits

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Sales tax receipt

—

Utility/telephone bills

—

Business transaction records

—

Current/commercial account statements

—

Letters of credit

—

Invoices from suppliers

—

Advertising leaflets

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Business brochures/promotional literature

—

Newspaper clippings

—

VII. Executive/Managerial/Supervisory/Essential Skills:

Tab No.

Letter from E-2 enterprise providing specific information on the applicant and the reasons for his/her assignment to the U.S. The letter must explain the employee's role in the U.S. company (job title and duties), the applicant's executive or supervisory responsibilities or, if not a supervisor, his/her specialist role, the level of education and knowledge required by the employee's position, his employment experience, progression of promotion or high level training or special qualifications and the reasons why a U.S. citizen or legal permanent

- resident cannot fill the position (if the position is not managerial or supervisory) —
- Letter from responsible official at U.S. company or office identifying the need for assigned employee. —
- Organizational chart showing current staffing pattern at U.S. company —
- Evidence of executive, supervisory or specialized knowledge, education, experience, skills or training, such as certificates, diplomas or transcripts. —